Draft "As-Is" Condition report
Office of Science (SC)
Support Center

(Rev. 2)

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Attachments

A. Executive Summary

Element 1.3.3, SC Support Centers, of the OneSC Project work breakdown structure (WBS) addresses the mapping of roles, responsibilities, authorities and accountabilities (R2A2) for the proposed SC Chicago and Oak Ridge Support Centers, and the Germantown (SC60 – Office of Resource Management, SC-80 – Office of Laboratory Operations, Environment, Safety and Health) support functions. For each organization a process was developed to map the present (As-Is) R2A2's, and the future (To-Be) R2A2's for the proposed Support Centers. The following outlines the process used to map the As-Is condition of the Oak Ridge, Chicago, and Germantown organizations.

An R2A2 Integration team was formed, as well as R2A2 Mapping teams at Chicago, Oak Ridge, and Germantown. Attachment 1 is a list of Integration and Mapping team members. The mapping teams catalogued the As-Is R2A2's for the three organizations for the division level and above. The mapping teams used organization charts, position descriptions, functions, responsibilities and authorities manuals (FRAM's), DOE directives, delegations of authority, other legal authorities, and interviews with managers to determine the appropriate set of R2A2's for each organization. Attachment 2 is the As-Is R2A2 Maps for the three organizations. The As-Is R2A2's were then rolled up into functions and activities that are performed by each organization, and entered into a Functions and Activities matrix. Attachment 3 is the As Is Functions and Activities matrices for the 3 organizations. The R2A2 maps and the Functions and Activities matrices were reviewed by the R2A2 Integration team to ensure that all present functions and activities were identified for all three organizations.

Issues that were identified by the teams were referred to the OneSC project Issues Management Team for resolution. At the completion of the As-Is R2A2 analysis only one issue related to the support centers was being addressed by the Issues Management Team – the location of Head of Contracting Activities (HCA) Authority. In the As-Is condition HCA is delegated to the Operations Office managers. In the conceptual design for the support centers HCA would be located in the Office of Science Headquarters program office for the Management and Operations (M&O) contracts, but HCA authority for non-M&O procurements may be placed in the Support Centers.

It was determined that The Chicago and Oak Ridge Operations Offices, have multi-program responsibilities and therefore many of their R2A2's and Functions and Activities are similar or the same, while others are unique to the particular office. Most of these R2A2's and Functions and Activities will remain the same, however some will be transferred to Site Offices, redistributed within their present locations to improve efficiency, or possibly eliminated. Both Chicago and Oak Ridge operate Centers of Excellence that provide services to SC and other DOE programs. There is also the potential for creating additional Centers of Excellence at Chicago and Oak Ridge. Both offices maintain interface agreements with other DOE program offices for support services that they provide.

The Germantown SC-60 and SC-80 organizations As-Is R2A2's and Functions and Activities are different from those of Chicago and Oak Ridge. With few exceptions, SC-60 and SC-80 support SC policymaking, and activities in the budget and finance, human resource, grants management, infrastructure planning, and performance evaluation areas.

Numerous lessons were learned during the course of the As-Is condition analysis. Many of the materials used to support R2A2's were found to be out of date. Lines of authority were found to be confused and unclear. Functional organizations are often unclear as to whether their role is Lead or Staff.

Conclusions reached during the As-Is condition analysis reflect the points made in the preceding paragraphs.

B. Definitions for the SC Restructuring Project:

Role: the broad umbrella term that defines the functions that individuals play in the organization

Responsibility: the obligation to ensure the initiation, and/or implementation or completion of an assigned activity; implies action and accountability.

Authority: the decision-making powers and controls required to fulfill responsibilities without concurrence or approval of others; include committing resources and making final decisions without further review within the limits established through the delegation of authorities.

Accountability: to be held answerable to a specific position/individual for fulfilling a responsibility for which you have the authority to act.

Line Management: a line manager takes actions or makes final decisions without further review within the limits or conditions established by the source of the authority. Line managers are accountable for the results of their decisions.

Staff Management: a staff manager supports the actions and decisions of line managers either directly in terms of expert analysis, advice or recommendations, or indirectly through products or services that enable the effectiveness of the overall operation. Staff managers are accountable for the quality of their service.

C. Results

1. Overview

The R2A2 maps tell us what the particular organization's current R2A2's are. The Functions and Activities matrices represent the functions and activities the particular organization is structured to conduct. The R2A2's have been rolled up into the corresponding functions and activities and a determination made as to whether the organization has line or staff responsibility for the function or activity.

Given that Oak Ridge and Chicago Operations Offices have multi-program responsibilities it is understandable that many of their R2A2's and functions and activities are similar or the same. For instance, they both conduct functions in the areas of legal services, procurement, budget and financial management, program and project management, safeguards and security, environment, safety and health, acquisition services, human resources, public affairs, and they both provide various services to other programs. The managers of the Oak Ridge and Chicago Operations Offices have been delegated Head of Contracting Activity (HCA) authority from Headquarters.

The Germantown SC-60 and 80 organizations As-Is Condition R2A2's and functions and activities are different than those of the Chicago and Oak Ridge Operations Offices. The Office of Resource Management (SC-60) provides the lead in corporate planning, developing, managing and implementing a central management support program for the Office of Science. SC-60 provides the SC lead for; budget formulation and execution, financial management, contracts and grants management, personnel staffing and resource analysis, tracking of executive correspondence, business management practices, and the tracking of GAO and IG audit activities. The Office of Laboratory Operations and ES&H (SC-80) provides policy coordination and implementation and SC corporate performance evaluation in the areas of ES&H, emergency planning, safeguards and security, assets and infrastructure planning for multi-program laboratories. SC-80 also provides independent review of SC's major construction projects and other management projects. Examples of some of SC-80's roles and responsibilities are; implementation of security management policies, act as the SC Secretariat for the Energy Systems Acquisition Advisory Board (ESAAB) and Project Baseline Change Control (PBCC) process; manages the Science Laboratories Infrastructure Program (SLI), provides the SC NEPA Compliance Officer, and Integrated Safety Management (ISM) policy implementation.

 While the majority of the R2A2's and functions and activities for Chicago, Oak Ridge and Germantown are expected to remain the same in the To-Be Condition, there will be some that will be transferred to Site or Support Offices, some that will be relocated within the particular Support Center, and there may be some that should be eliminated. As the To-Be condition is developed these needed changes will have to be identified.

While many of the R2A2's and functions and activities for Chicago and Oak Ridge are similar, each Operations Office does have some unique ones. The Operations Offices also have unique interface arrangements with various programs. Examples of these unique R2A2's, functions and activities, and interface agreements for Chicago and Oak Ridge are given in subsequent paragraphs.

The As-Is Condition R2A2 maps and Functions and Activities matrices provide vital information for the development of the To-Be Condition for Chicago, Oak Ridge and Germantown Support Centers.   Once the To-Be Condition Functions and Activities are plotted, the As-Is Condition R2A2's will be carried over and rolled up into the appropriate To-Be Condition functions and activities. Those R2A2's and functions and

activities that have been identified as needing to be transferred within the Support Centers or to Site Offices will be documented at this time.

2. Centers of Excellence

Several unique functions and activities were identified that are already, or could be developed into, Centers of Excellence within the Support Centers. For Chicago, there is potential for the Chicago Support Center to be a Center of Excellence for SC Management and Operation (M&O) contract award and administration. CH would be accountable for executing and implementing DOE and SC contracting policy for M&O contracts; setting M&O policy, conducting M&O pre-award activities, and M&O award and administration activities. For Germantown, SC-80, there is potential for the Construction Management Support Division, which is recognized within DOE for providing expert project, program and construction management analysis and assessment, to be designated a Center of Excellence. This division also provides assistance in project planning and management reviews to the Office of Engineering and Construction Management (OECM), ME, EM, and NNSA.

The Chicago Office of Intellectual Property Law of the Chicago Office of Chief Counsel has been designated as a Center of Excellence for Intellectual Property Law. CH-IPL provides intellectual property law support to several other DOE Operations Offices, Field Offices, and other DOE organizations throughout the country. By providing services and support to the wide range of Offices across the DOE complex and to Offices reporting to several different Headquarters Programmatic Divisions, CH-IPL serves as a centralized Office offering a staff with a varied and wide range of background, expertise, and experience.

The Chicago Operations Office is also a Center of Excellence for Grants Management, negotiating, awarding and administering 62% of the SC financial assistance work.

The Oak Ridge Operations Office (ORO) currently operates five Centers of Excellence/Service Centers that provide services to customers outside the Oak Ridge area. These centers, with a brief description are as follows.

- Oak Ridge Financial Service Center: This center provides services to seven satellite offices in addition to ORO. Services provided include processing in excess of 40,000 payments annually, monthly Treasury reporting, issuance and recordation of Intra-Governmental Payments and Collections (IPAC's) to and from other federal agencies, travel processing, consolidated reporting of financial data to Headquarters on a monthly basis.

- Business Center for Precious Metals and Recycling: Provides services to recover precious metals (per the precious metals identification list) from contaminated and non-contaminated scrap and excess equipment, contract to refine these metals and make them available to DOE sites throughout the complex.

- National Clearing House for Lead: Provides centralized screening and management of all lead across the DOE complex to ensure that it meets the specified standards for directed recycle/reuse in accordance with the Secretary's suspension of free release of metals. The excess lead inventory is melted and reused /recycled into products, such as shielding and containers for the storage and disposal of materials.

- National Center of Excellence for Materials Recycle: Offers expertise to DOE, contractors, and federal agency sites in asset disposition, waste management, D&D, radiological controls, life cycle cost analysis, ALARA/risk analysis, estimating and contracting. The Program promotes the reuse/recycle of surplus DOE equipment and materials (including scrap metal and concrete).

- National Electronics Recycling Center: Provides environmentally sound electronics recycling and reuse services to government agencies and private business, through a specified contractor, i.e., glass, plastics, etc. Focus is on reconditioning, reselling, recycling and reuse of the excess equipment. Obsolete equipment not suitable for reuse is broken down into its component parts for recycling.

2. Interface Agreements

Several Interface Agreements between SC and other Program Offices were identified. These agreements outline specific roles, responsibilities, authorities and accountabilities for how SC and the present Operations Offices, Chicago and Oak Ridge, support activities of the other Program Offices. Existing Interface Agreements are:

Oak Ridge: Memorandum of Understanding (MOU), SC, Oak Ridge and the Office of Nuclear Energy, Science and Technology (NE) for the program management and ES&H oversight of certain nuclear facilities at Oak Ridge National Laboratory (ORNL).

Service Agreement, Oak Ridge and the NNSA Y-12 Site Office (YAO) for services provided by the Oak Ridge Operations Office (ORO) to YAO.

Chicago: Memorandum of Understanding (MOU), SC, Chicago, Argonne West, Brookhaven Area Office and the Office of Nuclear Energy, Science and Technology (NE) for the program management and ES&H oversight of certain nuclear facilities at Argonne National Laboratory West (ANL-W) and Brookhaven National Laboratory (BNL).

MOU with the Ohio and Rocky Flats Field Offices for intellectual property legal services and technology transfer matters.

Authorization Agreement with the New Brunswick Laboratory (NBL) for use and operation of the NBL Building 350.

MOU with the Office of Materials Disposition (MD) for support of the mixed oxide (MOX) reactor fuel program.

Germantown: In some specialized technical areas, the Office of Laboratory Operations and ES&H (SC-80) provides services to parties outside SC and the Department.

It is likely that there are other services being provided to other DOE Programs by the SC organizations that are not covered by formal Interface Agreements. The Support Center Services Analysis Team will develop an inventory of these services.

4. Lessons Learned

The R2A2 Mapping Teams at Chicago, Oak Ridge and Germantown learned additional lessons through the course of their data collection. These lessons and observations are provided in the following paragraphs.

Much of the material that supports roles, responsibilities, authorities and accountabilities was found to be out of date. Many of the R2A2's had not been updated in 3-5 years. Authorities for many roles were outdated or had expired. A process should be developed to periodically review and update R2A2's.

Many senior managers believed that they were the lead authority on any given issue, program or project. There was more than one example where numerous managers believed that they had the authority to direct actions related to a particular issue, program or project.

Functional organizations are often not clear as to whether their role is Lead or Staff. An example is trying to define the functional organization's role in the areas of policy and guidance.

Matrix organizations are often accountable to both the Operations Office manager and the HQ functional organization. For example, legal staff are accountable to both the Operations Office manager and to HQ General Counsel.

Many matrix organizations do not have detailed R2A2's. Rather, they have identified major services they provide and functions they perform, commitments, and customers.

Many roles and responsibilities have been altered or moved around during reorganizations so that they are impossible to trace to their sources and define. This is complicated by the loss of corporate history due to retirements.

HQ directives are issued by the functional organizations and include responsibilities for their organizational elements and heads of departmental and field elements. However, they do not specify responsibility for the corresponding field functional organization.

This implies that the head of the departmental or field element is accountable and the corresponding field office functional organization only provides support to line management in meeting the requirements. On the other hand, the close relationship between the HQ and field functional organizations frequently indicates that HQ holds the field functional organization accountable. This is evident for "consolidated reporting" from multiple field line organizations. The HQ functional organization often holds the field functional organization responsible for "tailoring" requirements for the entire field organization. The extent of the discretion the field functional organization has in tailoring the requirements is seldom defined. In the case of Chicago Operations Office Orders, they do not address each required delegation for the head of the field element, head of departmental element, and head of the Operations Office, which exacerbates the situation.

Delegations to matrix organizations are often times incomplete making definition of the extent of delegation difficult.

The OneSC Restructuring is taking place during the Department's shift to stronger performance-based management; refocusing oversight to contract administration and operational awareness and a reliance upon the contractor's self assessment program. This has added a degree of confusion to the SC organization.

A project the size and importance of the OneSC Project would benefit from a face to face kickoff team meeting. It would help all team members better understand their roles and responsibilities, and those of other team members.

For Chicago, a lack of uniformity between field elements in terms of organizational structure and mode of operation prevented development of a prospective uniform approach to the restructuring process, at least in definition of the As Is Condition. This somewhat limited the benefit of one element's work product.

5. Conclusions

The Chicago and Oak Ridge Operations Offices have multi-program responsibilities, while the responsibilities of the Germantown SC-60 and SC-80 offices are primarily internal to SC.

In all three cases, Chicago, Oak Ridge and Germantown, many of the documents supporting R2A2's and Functions and Activities are out of date.

Both Chicago and Oak Ridge maintain Interface Agreements with other DOE programs for support to those programs.

Both Chicago and Oak Ridge maintain Centers of Excellence that provide services to other DOE programs, and there is potential for the creation of additional centers.

The majority of the R2A2's identified in the As-Is condition analysis will remain the same. However, some R2A2's presently residing in the Operations Offices may be reassigned to the Site Offices; some may be redistributed within the Chicago, Oak Ridge and Germantown Offices to improve efficiency, and some R2A2's may be eliminated.

The As-Is condition analysis did not reveal any issues or impediments that would prevent the SC restructuring and the conversion of the Operations Offices to Support Centers.

Attachments

1. R2A2 Integration Team and R2A2 Mapping Team members
2. As Is R2A2 maps for Chicago, Oak Ridge and Germantown SC-60 and 80
3. Function and Activities matrices for Chicago, Oak Ridge and Germantown SC-60 and 80

Attachment 1
R2A2 Integration and Mapping Teams Rosters

Integration Team

Michael Holland (Support Center Project Manager)   Robert Folker (ORO)
Alan Handwerker (CH)   Charles Billups (GTN)
Ben Weakley (SC/HQ)   Paul Kruger (RL)
Don Moody (RL)

Oak Ridge Mapping Team

Robert Folker (Team Leader)	Vince Adams
Wayne Albaugh	David Allen
Phil Barker	Debbie Booher
Barbara Brower	Larry Clark
Willis Davis	Richard Dotson
Mildred Ferre	Pete Garcia
Jenifer Hackett	Bob Hamilton
Jim Hart	Patty Hart
Marianne Heiskell	Erskine Hicks
Chris Hill	Brian Hitson
Selicia Leonard	George Manthey
John Medlock	Greg Mills
Telicia Mims	Harold Monroe
Chuck Morgan	Judy Penry
Bob Poe	Mary Rawlins
Jim Reafsnyder	Catherine Schidel
Carolyne Thomas	Don Thress
Steve Wyatt	

Chicago Mapping Team

Alan Handwerker (Team Leader)	Jim Buchar
Cornell Williams	Vicki Prouty
Susan Heston	James Bieschke
John Adachi	Dennis Wilson
Sergio Martinez	

Germantown Mapping Team

Charles Billups (Team Leader)	Clarence Hickey
John Aleva	Anna Lowe
Aracelly Nunuz-Mattocks	Ralph DeLorenzo
Dick Yockman	Bill Nay
Jim Carney	John Yates

Attachment 2
As Is Condition Maps for Oak Ridge, Chicago and Germantown

Attachment 3
Functions and Activities Matrices for Oak Ridge,
Chicago and Germantown